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Carolyn C. Caires

Printed: Carolyn C. Caires



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Guenzler-Pukall et al.

Title: TREATMENT OF DIABETES

U.S. Serial No.: 10/729,704 Filing Date: 04 December 2003

Examiner: Not yet assigned Group Art Unit: 1614

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. 1.97(b)

Sir:

Pursuant to 37 C.F.R. 1.56, 1.97, and 1.98, Applicants wish to call to the attention of the Examiner the enclosed "List of References Cited by Applicants" (Form PTO/SB/08A).

Applicants reserve the right to antedate any reference in accordance with standard procedure.

Citation of the documents is not to be construed as an admission that the documents are necessarily prior art with respect to the present application. In addition, this submission is understood to complement the results of the Examiner's own independent search. Citation of the documents shall not be construed as a representation that a search has been made or that the cited items are inclusive of all the relevant and material citations that may be available publicly. Any NCBI or other report included on the attached list may not have an accurate date for prior art purposes. Some of the documents may have markings thereon. No significance is meant to be

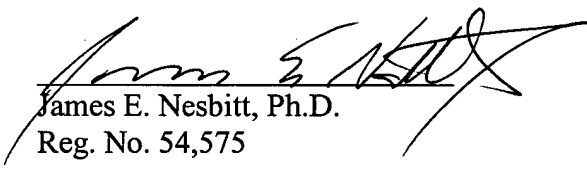
attached to the markings. Applicants respectfully request that the cited documents be considered by the Examiner and that an initialed copy of the Form PTO/SB/08A be returned to Applicants.

If there are any questions regarding this communication, please call the undersigned at 650-866-7200.

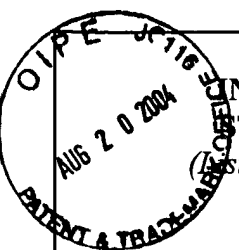
Applicants believe that no fee is due with this communication. If, however, the Commissioner determines that a fee is due, the Commissioner is hereby authorized to charge any necessary fees, or credit any overpayment, to **Deposit Account No. 50-0811**. **This form is enclosed in duplicate.**

Respectfully submitted,
FibroGen, Inc.

DATE: 18 August 2007


James E. Nesbitt, Ph.D.
Reg. No. 54,575

FibroGen, Inc.
225 Gateway Boulevard
South San Francisco CA 94080
Main: 650-866-7200
Direct: 650-866-7289
Facsimile: 650-866-7204



**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(List of References Cited by Applicants)

| | | | | |
|-------|--------|--|-----------------|------------------------|
| | | | U.S. Serial No. | 10/729,704 |
| | | | Filing Date | 04 December 2003 |
| | | | Applicant(s) | Guenzler-Pukall et al. |
| | | | Group Art Unit | 1614 |
| | | | Examiner Name | Not yet assigned |
| Sheet | 1 of 2 | | Docket No. | FP0602.1 US |

U.S. PATENT DOCUMENTS

| EXAMINER INITIALS* | CITE NO. | U.S. PATENT DOCUMENT | | NAME OF PATENTEE OR APPLICANT OF CITED DOCUMENT | DATE OF PUBLICATION OF CITED DOCUMENT | PAGES, COLUMNS, LINES, WHERE RELEVANT PASSAGES OR RELEVANT FIGURES APPEAR |
|-----------------------|-------------|----------------------|-------------------------|---|--|--|
| | | Number | Kind Code (if known) | | | |
| | 1 | 5,607,954 | | Weidmann et al. | 4 March 1997 | |
| | 2 | 5,610,172 | | Weidmann et al. | 11 March 1997 | |
| | 3 | 5,620,995 | | Weidmann et al. | 15 April 1997 | |
| | 4 | 5,620,996 | | Weidmann et al. | 15 April 1997 | |
| | 5 | 5,658,933 | | Weidmann et al. | 19 April 1997 | |
| | 6 | 5,719,164 | | Weidmann et al. | 17 February 1998 | |
| | 7 | 5,726,305 | | Weidmann et al. | 10 March 1998 | |
| | 8 | 5,916,898 | | Edwards et al. | 29 June 1999 | |
| | 9 | 5,942,434 | | Ratcliffe et al. | 24 August 1999 | |
| | 10 | 6,020,350 | | Weidmann et al. | 1 February 2000 | |
| | 11 | 6,093,730 | | Weidmann et al. | 25 July 2000 | |
| | 12 | 6,124,131 | | Semenza | 26 September 2000 | |
| | 13 | 6,200,974 | B1 | Edwards et al. | 13 March 2001 | |
| | 14 | 6,562,799 | B1 | Semenza | 13 May 2003 | |

FOREIGN PATENT DOCUMENTS

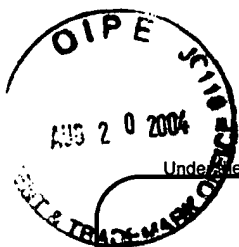
| EXAMINER INITIALS* | CITE NO. | FOREIGN PATENT DOCUMENT | | | NAME OF PATENTEE OR APPLICANT OF CITED DOCUMENT | DATE OF PUBLICATION OF CITED DOCUMENT | PAGES, COLUMNS, LINES, WHERE RELEVANT PASSAGES OR RELEVANT FIGURES APPEAR | T |
|-----------------------|-------------|-------------------------|-----------|-------------------------|---|--|---|---|
| | | Office | Number | Kind Code (if known) | | | | |
| | 15 | WO | 02/074981 | A2 | Isis Innovation Ltd. | 26 September 2002 | | |
| | 16 | WO | 03/045440 | A1 | Angiogenetics Sweden AB | 5 June 2003 | | |
| | 17 | WO | 03/049686 | A2 | FibroGen, Inc. | 19 June 2003 | | |
| | 18 | WO | 03/080566 | A2 | Isis Innovation Ltd. | 2 October 2003 | | |
| | 19 | WO | 99/21860 | A1 | FibroGen, Inc. Zeneca Limited | 6 May 1999 | | |
| | 20 | EP | 0 650 961 | B1 | Hoechst Aktiengesellschaft | 5 March 1997 | | |

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

| | | | |
|---|-------------|--|------------------------|
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(List of References Cited by Applicants)</i> | | U.S. Serial No. | 10/729,704 |
| | | Filing Date | 4 December 2003 |
| | | Applicant(s) | Guenzler-Pukall et al. |
| | | Group Art Unit | 1614 |
| | | Examiner Name | Not yet assigned |
| Sheet | 2 of 2 | Docket No. | FP0602.1 US |
| <u>OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS</u> | | | |
| EXAMINER INITIALS* | Cite No. | | T |
| | 21 | Azevedo et al. (1995) Diabetes 44:695-698. | |
| | 22 | Bickel <i>et al.</i> (1998) Hepatology 28:404-411. | |
| | 23 | Bruick and McKnight (2001) Science 294:1337-1340. | |
| | 24 | DCCT Research Group (1993) New Eng J Med 329:977-986 | |
| | 25 | Epstein <i>et al.</i> (2001) Cell 107:43-54. | |
| | 26 | Franklin <i>et al.</i> (1991) Biochem Soc Trans 19:812-815. | |
| | 27 | Franklin <i>et al.</i> (2001) Biochem J 353:333-338. | |
| | 28 | Friedman <i>et al.</i> (2000) Proc Natl Acad Sci USA 97:4736-4741. | |
| | 29 | Ivan <i>et al.</i> (2001) Science 292:464-468. | |
| | 30 | Ivan <i>et al.</i> (2002) Proc Natl Acad Sci USA 99:13459-13464. | |
| | 31 | Jaakkola <i>et al.</i> (2001) Science 292:468-472. | |
| | 32 | Jia <i>et al.</i> (1994) Proc Natl Acad Sci USA 91:7227-7231. | |
| | 33 | Kaule and Gunzler (1990) Anal Biochem 184:291-297. | |
| | 34 | Kivirikko and Myllyharju (1998) Matrix Biol 16:357-368. | |
| | 35 | Lee et al. (2003) High Alt Med Biol 4:81-91. | |
| | 36 | Majamaa <i>et al.</i> (1984) Eur J Biochem 138:239-245. | |
| | 37 | Majamaa <i>et al.</i> (1985) Biochem J 229:127-133. | |
| | 38 | Myllyharju and Kivirikko (1997) EMBO J 16:1173-1180. | |
| | 39 | Thornburg et al. (1993) Biochemistry 32:14023-14033. | |
| | 40 | UKPDS Group (1998) Lancet 352:837-853. | |
| | 41 | Dorman et al. (1984) Diabetes 33:271-276. | |
| | | | |
| | | | |
| | | | |
| EXAMINER | | DATE CONSIDERED | |
| EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. | | | |



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PTO/SB/21 (01-03)

Approved for use through 04/30/2003. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

| | |
|-----------------|------------------------|
| U.S. Serial No. | 10/729,704 |
| Filing Date | 04 December 2003 |
| Applicant(s) | Guenzler-Pukall et al. |
| Art Unit | 1614 |
| Examiner Name | Not yet assigned |
| Docket No. | FP0602.1 US |

ENCLOSURES (Check all that apply)

- | | | |
|--|---|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form | <input type="checkbox"/> Drawing(s) | <input type="checkbox"/> After Allowance Communication to Group |
| <input type="checkbox"/> Fee Attached | <input type="checkbox"/> Licensing-related Papers | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences |
| <input type="checkbox"/> Amendment/Reply | <input type="checkbox"/> Petition | <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> After Final | <input type="checkbox"/> Petition to Convert to a Provisional Application | <input type="checkbox"/> Proprietary Information |
| <input type="checkbox"/> Affidavits/declaration(s) | <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address | <input type="checkbox"/> Status Letter |
| <input type="checkbox"/> Extension of Time Request | <input type="checkbox"/> Terminal Disclaimer | <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): |
| <input type="checkbox"/> Express Abandonment Request | <input type="checkbox"/> Request for Refund | Form PTO/SB/08A (2 pages) |
| <input checked="" type="checkbox"/> Information Disclosure Statement | <input type="checkbox"/> CD, Number of CD(s) _____ | Copies of 41 cited references |
| <input type="checkbox"/> Certified Copy of Priority Document(s) | Remarks | |
| <input type="checkbox"/> Response to Missing Parts/Incomplete Application | | |
| <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | | |

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

| | |
|--------------------|---|
| Firm or Individual | James E. Nesbitt, Ph.D. Reg. No. 54,575 |
| Signature | |
| Date | 18 August 2004 |

CERTIFICATE OF TRANSMISSION/MAILING

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Typed or printed Carolyn C. Caires

Signature

Date

18 August 04

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

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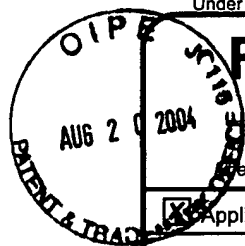
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Carolyn C. Cairns
Carolyn C. Cairns

PTO/SB/17 (10-03)

Approved for use through 07/31/2006. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 0

Complete if Known

| | |
|--------------------|------------------------|
| Application Number | 10/729,704 |
| Filing Date | 04 December 2003 |
| Applicant(s) | Guenzler-Pukall et al. |
| Examiner Name | Not yet assigned |
| Art Unit | 1614 |
| Docket No. | FP0602.1 US |

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number: FibroGen, Inc.
Deposit Account Name: 50-0811

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description | Fee Paid |
|----------------------------|----------------------------|------------------------|----------|
| 1001 770 | 2001 385 | Utility filing fee | |
| 1002 340 | 2002 170 | Design filing fee | |
| 1003 530 | 2003 265 | Plant filing fee | |
| 1004 770 | 2004 385 | Reissue filing fee | |
| 1005 160 | 2005 80 | Provisional filing fee | |
| SUBTOTAL (1) | | | (\$) 0 |

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

| | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| Total Claims | -20** = | X | 0 |
| Independent Claims | -3** = | X | 0 |
| Multiple Dependent | | | 0 |

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description |
|----------------------------|----------------------------|--|
| 1202 18 | 2202 9 | Claims in excess of 20 |
| 1201 86 | 2201 43 | Independent claims in excess of 3 |
| 1203 290 | 2203 145 | Multiple dependent claim, if not paid |
| 1204 86 | 2204 43 | ** Reissue independent claims over original patent |
| 1205 18 | 2205 9 | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$) 0

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Small Entity

| Fee Code (\$) | Fee Code (\$) | Fee Description | Fee Paid |
|---------------|---------------|--|----------|
| 1051 130 | 2051 65 | Surcharge - late filing fee or oath | |
| 1052 50 | 2052 25 | Surcharge - late provisional filing fee or cover sheet | |
| 1053 130 | 1053 130 | Non-English specification | |
| 1812 2,520 | 1812 2,520 | For filing a request for <i>ex parte</i> reexamination | |
| 1804 920* | 1804 920* | Requesting publication of SIR prior to Examiner action | |
| 1805 1,840* | 1805 1,840* | Requesting publication of SIR after Examiner action | |
| 1251 110 | 2251 55 | Extension for reply within first month | |
| 1252 420 | 2252 210 | Extension for reply within second month | |
| 1253 950 | 2253 475 | Extension for reply within third month | |
| 1254 1,480 | 2254 740 | Extension for reply within fourth month | |
| 1255 2,010 | 2255 1,005 | Extension for reply within fifth month | |
| 1401 330 | 2401 165 | Notice of Appeal | |
| 1402 330 | 2402 165 | Filing a brief in support of an appeal | |
| 1403 290 | 2403 145 | Request for oral hearing | |
| 1451 1,510 | 1451 1,510 | Petition to institute a public use proceeding | |
| 1452 110 | 2452 55 | Petition to revive - unavoidable | |
| 1453 1,330 | 2453 665 | Petition to revive - unintentional | |
| 1501 1,330 | 2501 665 | Utility issue fee (or reissue) | |
| 1502 480 | 2502 240 | Design issue fee | |
| 1503 640 | 2503 320 | Plant issue fee | |
| 1460 130 | 1460 130 | Petitions to the Commissioner | |
| 1807 50 | 1807 50 | Processing fee under 37 CFR 1.17(q) | |
| 1806 180 | 1806 180 | Submission of Information Disclosure Stmt | |
| 8021 40 | 8021 40 | Recording each patent assignment per property (times number of properties) | |
| 1809 770 | 2809 385 | Filing a submission after final rejection (37 CFR 1.129(a)) | |
| 1810 770 | 2810 385 | For each additional invention to be examined (37 CFR 1.129(b)) | |
| 1801 770 | 2801 385 | Request for Continued Examination (RCE) | |
| 1802 900 | 1802 900 | Request for expedited examination of a design application | |

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 0

SUBMITTED BY

| | | | | | |
|-------------------|-------------------------|-----------------------------------|----------------|-----------|--------------|
| Name (Print/Type) | James E. Nesbitt, Ph.D. | Registration No. (Attorney/Agent) | 54,575 | Telephone | 650-866-7200 |
| Signature | <u>James E. Nesbitt</u> | Date | 18 August 2004 | | |

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS.
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